

## Securities and Exchange Commission

## § 259.602

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-3A-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 259.403 Form U-3A3-1, for annual reports pursuant to Rule 3 (§ 250.3 of this chapter) for banks which are exempt holding companies.**

This form shall be filed pursuant to paragraph (c) of Rule 3 (§ 250.3(c) of this chapter) by any bank claiming exemption from any obligation, duty or liability as a holding company under the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-3A3-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 259.404 Certificate to be filed pursuant to § 250.7(d) of this chapter.**

This form must be filed with the Commission by any lessor or beneficial owner of a utility facility which has been leased by it to an operating public utility company, within 30 days after execution of the lease, if any beneficial owner of such facility seeks exclusion from the status of an electric or gas utility company under the Act pursuant to § 250.7(d) of this chapter.

[38 FR 16999, June 28, 1973]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-7D, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 259.405 Form U-33-S, for annual reports pursuant to Rule 57(b) (§ 250.57 of this chapter).**

This form shall be filed by a public utility company that is an associate of one or more foreign utility companies, unless such public-utility company is an associate of a registered holding company, or of a holding company exempt from registration under § 250.2 of this chapter.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-33-S, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## **Subpart F—Forms for Amendments [Reserved]**

## **Subpart G—Forms for Electronic Filing**

### **§ 259.601 Form ET, transmittal form for electronic format documents on magnetic tape or diskette to be filed on the EDGAR system.**

This form shall accompany electronic filings submitted on magnetic tape or diskette under the EDGAR system.

[57 FR 18219, Apr. 29, 1992]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ET, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 259.602 Form ID, uniform application for access codes to file on EDGAR.**

(a) Form ID is to be used by registrants, third party filers, or their agents for the purpose of requesting assignment of access codes to permit filing on EDGAR, as follows:

(1) Central Index Key (CIK)—uniquely identifies each filer, filing agent, and training agent.

(2) CIK Confirmation Code (CCC)—used in the header of a filing in conjunction with the CIK of the filer to ensure that the filing has been authorized by the filer.

(3) Password (PW)—allows a filer, filing agent or training agent to log on to the EDGAR system, submit filings, and change its CCC.

(4) Password Modification Authorization Code (PMAC)—allows a filer, filing agent or training agent to change its Password.

(b) Form ID also may be used for the purpose of requesting a reassignment of their CCC, PW and PMAC.

[57 FR 18219, Apr. 29, 1992]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ID, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.